DOCUMENT RESUME

ED 095 960 JC 740 332

AUTHOR Myles, Leslie, Ed.; MacClure, Thomas W., Ed.
TITLE An Annotated Bibliography on Establishing an Office of Institutional Research.
PUB DATE 74
NOTE 21p.; SIG Project Summary prepared for the Annual Meeting of North-Central States AERA/SIG for Community-Junior College Research (Iowa City, Iowa, July 1974)

EDRS PRICE MF-$0.75 HC-$1.50 PLUS POSTAGE
DESCRIPTORS *Annotated Bibliographies; *Community Colleges; *Institutional Research; *Junior Colleges; *Literature Reviews; Post Secondary Education; Research Needs

ABSTRACT

This annotated bibliography is organized into five sections that correspond to the following questions: What factors cause a need for institutional research? What are or should be the objectives of institutional research? What is or should be the typical subject matter of institutional research? What is or should be the impact of institutional research? and How should the office of institutional research be organized to meet its objectives? There are a total of 68 citations. (DB)

ED 095960

U S DEPARTMENT OF HEALTH,
EDUCATION & WELFARE
NATIONAL INSTITUTE OF
EDUCATION
THIS DOCUMENT HAS BEEN REPRODUCED EXACTLY AS RECEIVED FROM THE PERSON OR ORGANIZATION ORIGINATING IT. POINTS OF VIEW OR OPINIONS STATED DO NOT NECESSARILY REPRESENT OFFICIAL NATIONAL INSTITUTE OF EDUCATION POSITION OR POLICY

AN ANNOTATED BIBLIOGRAPHY ESTABLISHING AN OFFICE OF INSTITUTIONAL RESEARCH

Leslie Myles and Thomas W. MacClure

Editors

North Central Region
Special Interest Group on Community/Junior College Research
American Educational Research Association

1974

JC 740 332

North Central Region AERA/SIG: Community/Junior College Research

SIG Project Summary

by

Leslie Myles and Thomas MacClure

An Annotated Bibliography on Establishing an Office of Institutional Research

Purpose

The purpose of this project was to provide to AERA/SIG members, as well as any others interested in establishing or reorganizing an office of institutional research, an annotated bibliography on which they could draw for information on the rationale and experiences developed by others.

Procedures and Results

The task was approached from the point of view of a college which was contemplating establishment of an office of institutional research, attempting to identify the questions to which that college would be seeking answers, and selecting for this bibliography those papers which appeared to address those questions. The questions thus formulated were as follows:

What factors cause a need for institutional research?
What are or should be the objectives of institutional research?
What is or should be the typical subject matter of institutional research?
What is or should be the impact of institutional research?
How should the office of institutional research be organized to meet its objectives?

The annotated bibliography, therefore, was organized into five sections corresponding to the five questions noted above.

Recommendations

Since there appears to be far more normative literature indicating how various schools have organized to provide institutional research than literature developing a basic rationale for the existence of institutional research, it would be our recommendation that SIG/AERA consider the possibility of addressing itself as a group to this question which is fundamental to our very existence, and formulating our own rationale for the establishment of offices of institutional research in community and junior colleges.

Acknowledgements

The editors of this annotated bibliography drew on the work of others and received help and consultation from many people. We would like to extend our special thanks to Martha Meaders of the Michigan State University Library, Dr. James Nelson of the Michigan State University College of Education, Department of Administration and Higher Education, Dr. Stewart Gingrich of Henry Ford Community College, Dr. James Cook of Kellogg Community College, and Robert Chick of Kalamazoo Valley Community College. Thanks are also due to our Chairman, Al Hecht, for his helpful suggestions and his gentle reminders during the course of our work.

1. Carrothers, A.W.R., "The New Vigilance", Tomorrow's Imperatives Today, ed. Robert G. Cope, Pullman, Washington: University of Washington. October, 1973

   Sees institutional research in the 1970s as playing a major role of reinforcement to those who are charged with developing an effective planning interface between governments and universities. Institutional research has been providing planning and management information systems services; it may now be called on to provide facts in collective bargaining and to make management development systems developed by consultants relevant to the university. But the major role in the future for institutional research will be the application of rationality in management, and the understanding of the limitations of rationality; institutional research must not allow the quantification of the unquantifiable. Institutional research is the new buffer between universities and the shifting forces of politics.

2. Doi, James I., "The Role of Institutional Research in the Administrative Process", A Conceptual Framework for Institutional Research, ed. Clarence H. Bagley, Pullman, Washington: Washington State University. 1964

   A proposed frame of reference for various views of what institutional research is and should be consists of five propositions: (1) that higher education institutions have evolved from simple to complex organizations; (2) that a new, scientific administrative style has emerged; (3) that institutional research has evolved from sporadic to systematized conduct of studies for institutional improvement; (4) that this has led to the emergence of institutional research specialists; and (5) to the professionalization of these specialists. Conference speakers are agreed that IR is a staff, not a line function; that IR should evaluate policy; but that IR should not both formulate and implement policy. Conferees are not agreed on the status, role, and orientation of IR. Five pitfalls which IR specialists should avoid are: (1) continuing to repeat the same types of studies rather than investigating new areas as needed; (2) using information gained in research to extend the influence of the office; (3) policy implementation; (4) investigating areas at times when the investigation may be disruptive of institutional morale; and (5) breaking confidence either of resource information or sensitive study results.

3. Kibbee, Robert J., "The Hazards of Planning - Predicting Public Policy", Tomorrow's Imperatives Today, ed. Robert G. Cope, Pullman, Washington: University of Washington. October, 1973

   Given the importance of public policy to the operation of colleges and universities in the future, the syllogism is easily constructed by which predicting public policy becomes essential to sound planning and thereby a matter of concern to institutional researchers. What we are talking about is a form of educational intelligence work that gleans information from many sources, evaluates it, pieces it together into a meaningful mosaic and attempts to determine how it might affect what one wishes to do in the future. The process does not guarantee sound decisions but it does insure that a vitally important component of future planning will be addressed.

4. Marsee, Stuart E., "A President's View of Institutional Research", Junior College Journal 35: pp. 24-25 May, 1965

Today, since education has become big business and efficiency is increasingly important, it is even more important than in the past for the president and those who work with him to ask the right questions and find the correct answers. Institutional research, defined as self-study designed to improve the institution, is a must.

5. Mortimer, Kenneth P., and Leslie, David W., eds., Institutional Self-Study at the Pennsylvania State University, University Park: Pensylvania State University, Center for the Study of Higher Education. December, 1970

The first paper in this volume "Self-Study in American Colleges and Universities - A Review," discusses the concept of institutional research and briefly explores the history of institutionsl research in American higher education. The other papers deal with institutional research and self-studies as functions of different departments and offices of Pennsylvania State University, including the Office of the Vice-President for Planning, the Controller's Office, Personnel Services and Employee Relations, the Department of Management and Engineering, the Office of the Vice President for Academic Affairs in Institutional Research, the Department of Planning Studies in Continuing Education, the Office of Student Affairs, and the Center for the Study of Higher Education. The last paper presents a summary and overview of institutional self-study at Pennsylvania State University.

6. Sutton, Joseph T., "The Choice of a Future," Tomorrow's Imperatives Today, ed. Robert G. Cope, Pullman, Washington: University of Washington. October, 1973

Institutional research is now making a significant impact in understanding university management. However, the larger accountability of institutions to society is for the effectiveness of their educational programs. An institutional researcher should hypothesize that he or she can contribute to the effectiveness of the faculty through providing them with a better understanding of systems.

OBJECTIVES

7. Baskin, Samuel, "A Conceptual Framework for Institutional Research: One Point of View," A Conceptual Framework for Institutional Research, ed. Clarence H. Bagley, Pullman, Washington: Office of Institutional Research, Washington State University. 1974

Advocates that institutional researchers act as the "able top official in charge of research and development, a vice president in charge of heresy" suggested by Coombs. They should take initiative and responsibility in encouraging experimentation and research in new ways of teaching and learning, and assess results as well as carry out long range planning and projections. Methods suggested are faculty grants, consultants, memos to faculty on new developments, and faculty workshops.

8. Dressel, P.L., and Others., Institutional Research in the University: A Handbook, San Francisco: Jossey-Bass. 1971

A useful reference book (containing a series of articles by leading practitioners of institutional research) which shows what institutional research actually is, what can be achieved by it, and how it can be established in a particular college or university. Its contents include: major problems in higher education, nature of institutional research in self-study, planning and executing studies, collecting and utilizing basic data, studying environment, studying teaching and learning, evaluating outcomes of instruction, developing and using information systems, allocating and utilizing resources, long-range planning, conducting self-study, wider research, and toward the future.

9. Dyer, Henry S., "Can Institutional Research Lead to a Science of Institutions", The Educational Record, 47:452. Fall, 1966

Characterizes institutional research as necessarily integrating pure and applied research, and defines it as "that activity in which the mission orientation and the discipline orientation of a college or university intersect." Institutional research should play a vital role in defining institutional goals and objectives, determining how effectively goals are being met, and identifying factors facilitating or impeding progress toward goals. Institutional research can lead to a science of institutions if three conditions are met: (1) real problems are studied within a theoretical framework; (2) more dependable and believable measures are developed; and (3) much more sophistication about how to conduct genuine experiments is developed.

10. Fenske, Robert H., "Data Collection and Tabulation Tends to Obscure Basic Research Task: Self-Study of the Educational Process", College University Business, 48: 4: 10-16. April, 1970

Institutional research too often neglects essential self-study of the educational process.

11. Griffith, Coleman R., "Functions of a Bureau of Institutional Research," Journal of Higher Education, 9:254. May, 1938

Argues that the function of an office of institutional research is not to answer questions but to ask them. The office should know the history of the institution and the environment within which it functions, should recognize developing trends and changes, and should formulate questions based on these which addressed to the persons concerned through the president should keep the administration aware of what it is doing and why.

12. Hirsch, Peter M., Institutional Research and the Community College, St. Louis, Missouri: St. Louis Junior College District. September, 1966

Anything which is now, or could be, a problem or an issue for the institution concerned is the legitimate province of institutional research, which is therefore a type of applied research to perform a service to the institution. The Office of Institutional Research should (1) provide descriptive reports concerning the college's present status and the degree to which its goals are being met, (2) isolate institutional strengths and weaknesses, and make appropriate recommendations, (3) identify immediate and future needs, (4) coordinate intra- and interinstitutional studies, (5) assist staff members

12. Continued -

in their studies, (6) maintain an up-to-date, usable file of the institution's research, and (7) provide a periodic newsletter. The office should be operated through a staff position which has no other potentially conflicting role, it should have a separate budget and staff, and the director should have an administrative position at a level which will facilitate communication.

13. Hubbard, Robert E., "A Conceptual Framework for Institutional Research: One Point of View," A Conceptual Framework for Institutional Research, ed. Clarence H. Bagley, Pullman, Washington: Office of Institutional Research, Washington State University. 1974

On the premise that institutional research exists solely to improve institutional operations, institutional research should concern itself with 3 types of studies: (1) those related to establishment and modification of institutional goals; (2) those related to the ways an institution should organize to achieve its goals; (3) those which evaluate the effectiveness of current programs and operations.

14. Martin, Warren Bryan. "Thoughts on Institutional Research as Gate-Tending, Bookkeeping, and Goal Mining," Liberal Education 57: 2: 224-35. May, 1971

College and university research units should be crucial instrumentalities for the determination of institutional priorities and management objectives.

15. Menefee, Audrey. "Institutional Research in the Junior College - Process and Product," Proceedings of the Annual Conference for Directors of Institutional Research in California Junior Colleges, Pacific Grove, California: California State Department of Education, Sacramento. March, 1965

Participants in a conference of California Junior College Presidents and Research Directors considered: (1) the purposes and uses of institutional research; (2) the scope of institutional research, with papers giving the points of view of a college president, the coordinating council for higher education, and the state department of education; (3) funding of research activities; (4) organization for research; (5) resources to assist in junior college research programs; and (6) reports of research on year-round calendars, statewide cost and statistical analyses, follow-up of graduates, and criteria for selection of vocational students. Summaries of papers are presented in this report.

16. Saupe, Joe L., and Montgomery, James R., "The Nature and Role of Institutional Research...Memo to a College or University," Association for Institutional Research, November, 1970

This report on the nature and role of institutional research addresses itself to the following questions: (1) What is institutional research? (2) How "pure" can institutional research be? (3) What can institutional research do for the institution? (The report lists such functions as: preparing operating, analytic and summary reports, conducting analytic or modeling studies, designing management information systems, doing special studies and studies in support of educational development, doing related staff work, and responding to questionnaires); (4) Should institutional research be administratively or educationally oriented?

16. Continued -

(5) How should institutional research related to long-range planning? (6) How should institutional research be organized? and (7) What are the requirements for effective institutional research?

17. Stecklein, John E., "The Birth of a Profession," Research on Academic Input, ed. Clarence H. Bagley, Cortland: State University of New York College at Cortland. 1966

We are witnessing the birth of a profession, a profession that can become an important force in higher education, to the extent that each institutional researcher transmits an image of solidity and value through research efforts, and to the extent that we clarify what institutional research is. For institutional research to survive and thrive, it should not be identified simply as an operations research unit for the administration; conversely, it should not be solely concerned with theoretical studies of the educational process. It should be the place where concerns for the effectiveness of the institution are merged with concerns for institutional efficiency. It should not just be data collection and tabulation, but should concern itself with the fundamental issues of education. It should be active as well as passive, initiating questions and inquiries. Institutional researchers should be generalists, capable of dealing with and understanding the viewpoints of personnel in all parts of the institution, capable of bringing different viewpoints to bear on problems, and capable of maintaining neutrality and research objectivity.

18. Tyrrell, Philip H., "Programming the Unknown: Guideline for the Conduct of Institutional Research," The Journal of Experimental Education, 31:92. December, 1962

Suggests that an office of institutional research should have a frame of reference that philosophically defines the institution and its role in human affairs. Considers that institutional research should consider the whole institution in continuing study of all phases of institutional practice.

SUBJECTS

19. Canfield, Albert A., "Time for Instructional Research", Junior College Research Review, Vol. 2, Number 4, Los Angeles, California: California University, ERIC Clearinghouse for Junior Colleges. December, 1967

Although community junior colleges are primary laboratories of formal human learning, there is a surprising scarcity of studies of their instructional effectiveness. Literature available in the Clearinghouse for Junior College Information includes descriptions of instructional processes and of innovative activities, but little information is presented concerning the results of instruction. Areas in which evaluative studies are reported include televised instruction, programmed materials, class size, and variations in instructor techniques. To attain the goal of utilizing the best possible instructional practices for student learning, junior college educators must have research data from studies which observe basic design features. Recent activities of the United States Office of Education, college faculties, and private foundations indicate a trend toward more effective research.

20. Corbman, Bernard P., "The Need for Curriculum Evaluation of Community Colleges", The Junior College Journal, February, 1962, pp. 340-344

The adoption of a program of curriculum evaluation at regular intervals would contribute to the vitality of the curriculum and the stature of the community college as a progressive force in higher education: such evaluation would be valuable to college officials and faculty, related professions or industries, students, and the public.

21. Hall, T. Sprague. "Institutional Research in the West," The Western Interstate Commission for Higher Education, 1959

Surveys 55 two-year colleges, of whom 44 reported studies made, in this order by number of studies: Students, faculty, curriculum, plant, enrollment, administration and organization of institution, teaching, financing, admission, and relationships with outside agencies.

22. Hills, John R., "Pre-Admissions Evaluation and College Scholastic Patterns," The Role of Institutional Research in Planning, ed. L. Joseph Lins, Madison: Office of Institutional Studies, University of Wisconsin, 1963

Points out how much can be found out simply by counting: as, for example: how many students graduate in the normal time span? More time? Ever? How many change their major or school? Which do they change from? Which do they change to? How many who take entry remedial courses graduate?

23. Littlefield, Henry W., "By Planning and Priority, Not By Happenstance," Junior College Journal 30:6, January 1960, pp. 247-248

The criteria to be used in determining priorities for research become clear if we consider students to be served, and the programs, faculty, administrative organization, physical facilities, and financial resources required to serve those students.

24. Mathies, Lorraine. "Junior College Educators Indicate Information They Need," Journal College Journal, Vol. 38, November, 1967, pp. 24-26

Results of an ERIC survey to 3,700 persons in April, 1967 generated 1,000 responses indicating that nearly three-fourths of respondents ranked curriculum and instruction as primary information needs areas, and one-half wanted specialized information on curriculum design and improvement. But the research being done does not fit the requests: the acquisitions program of the Clearinghouse indicates that curriculum/instruction research is not being done.

25. Mayhew, Lewis B., "Imperative for Institutional Research," Research on Academic Input, ed. Clarence H. Bagley, Cortland: State University of New York College at Cortland. 1966

Institutional research, which just a few years ago was a concept found within only a relatively few institutions, has arrived. But if institutional research is to assume its role in shaping higher education, it must turn its attention to the most difficult unsolved problems higher education faces, among which are: the economic viability of private education, teaching the non-traditional student, graduation rates in community colleges, relation of learning to future employer expectations, and development of methods to satisfy the twin and possibly incompatible demands of education for an elite and education for all.

25. Continued -

In order to meet these challenges, institutional researchers should remember that more data and research must be published, that personnel must be trained to work in the field, and that recommendations and extrapolations must be made from the data obtained. Lastly, institutional researchers are urged to try to understand educational policy in the broad sense and to seek ways of injecting research and research evidence into it.

26. Mayhew, Lewis B., "Student Follow-Up Studies: A Research Design," The Role Of Institutional Research in Planning, ed. L. Joseph Lins, Madison: Office of Institutional Studies, University of Wisconsin. 1963

Advocates follow-up studies of students in all curricula, both transfer and vocational, and suggests comparisons of college graduates and non-graduates, recent and older graduates, graduates and dropouts or stopouts, and graduates of different kinds of institutions on such subjects as careers, earnings, use of leisure, political and religious beliefs, and opinions of the institutions they attended.

27. McLaughlin, Gerald W. and James R. Montgomery. Research Needs of Community Colleges, Institutional Research, VPI and State University, Blacksburg, Virginia September, 1972, 24 p., out-of-print

The Delphi technique was utilized in this study to collect data from a panel of 100 respondents selected to be representative of administrators from all of the community colleges in Virginia as well as other involved professionals. A sequence of four questionnaires was developed containing seven demands and approximately sixty research topics based on the specific problem areas. Many analyses were undertaken on data received, standard deviation of items on final round from their variation on previous rounds; repeated measures analysis of variance for perceived importance of demands; factor analysis of importance of specific items and a final analysis related the size and urban-rural nature of the institutions represented.

28. Roueche, John E., "Gaps and Overlaps in Institutional Research," Junior College Journal, Vol. 38, Number 3, November, 1967

Institutional research in the junior colleges is a recent development and until the establishment of the ERIC Clearinghouse for Junior College Information, no effective means of disseminating the results of this research has been available. Certain gaps exist in types of research, problems studied, and focus: (1) studies of students commonly emphasize performance after transfer, but do not assess causes of good or poor performance, nor do they draw inferences or conclusions. Need exists for studies of dropouts and terminal students; (2) curriculum studies typically cover departmental program descriptions, surveys of other institutions, specific programs for low ability students, and feasibility studies for new programs. Little evaluative research has been performed; (3) experimental programs are reported in descriptions and statements of rationale, with some attempt at evaluation; (4) there is evidence of need for research in classroom testing. Fewer than 20 percent of the United States junior colleges have organized institutional research programs. Institutional research, necessary for effective planning and evaluation of programs and colleges, must be emphasized and supported.

29. Roueche, John E., "Superior Teaching in Junior Colleges - Research Needed," Improving College and University Teaching, Vol. 16, Number 1, Winter 1968, Corvallis: Oregon State University

The accepted goal of teaching is to cause learning, and the learning should be evident in the changed behavior of the student. Although it is generally assumed that junior colleges stress teaching, while the university emphasizes research, instructional improvement has been the subject of few institutional research projects. Golden West College, in planning an audio-tutorial approach, defined its objectives in eight steps - the goals and their hierarchy, the time and sequence of each unit, the most efficient methods of teaching within the limitations of budget and other obstacles, preparing instructional materials, and collecting data for evaluation. Oakland Community College is preparing programed instructional materials for use in its systems approach. Objectives and ways to evaluate their accomplishment are established before the course is given, thereby specifying goals for teachers, administrators, and students. The typical junior college, however, conducts little controlled research. Efforts at instructional improvement are likely to: (1) be unsystematic; (2) be made by administrators, not teachers; (3) provide no way to modify the system in accordance with valid findings; (4) lack measurable goals for students; (5) focus on instructor behavior instead of student gain; (6) follow-up only the transfer student; and (7) rely only on the GPA for evaluation of student performance.

30. Roueche, John E. and Boggs, John R. "Junior College Institutional Research: The State of the Art," American Association of Junior Colleges, Los Angeles: California University, ERIC Clearinghouse for Junior College Information, May, 1968

This monograph on institutional research in junior colleges examines research practices, presents examples, and makes recommendations for organizing the support of such activities. The need for this kind of research is documented and its uses are highlighted. Of 83 randomly selected colleges, 70 reported by telephone interview on their current research projects. Areas of research emphasized most often were: (1) student characteristics (in various correlations); (2) faculty; (3) instruction; (4) curriculum and programs; (5) student personnel services; (6) institutional operations; and (7) other topics such as campus environment, drug abuse, and testing. The four most frequent approaches to research were: (1) observational studies from records or surveys; (2) group comparisons by matched characteristic, by random selection, or by natural or existing group; (3) correlational studies for improvement of prediction and counseling. This report examines 25 recent studies, taken from 28 reports, with comments on the methodology and results of each. (All 28 reports are available from ERIC.) They are reviewed under the following headings: (1) students; (2) teachers; (3) programs and instruction; and (4) student services. The monograph points out that institutional evaluation is the president's responsibility; it is he who must ask the right questions and see that the answers are sought by a competent research staff.

31. Roueche, John E. and Boggs, John R. "A Survey of Institutional Research in American Junior Colleges," California Journal of Educational Research, Vol. 20, Number 3, May, 1969, pp. 107-116

The responses of 70 institutions to a 1969 survey indicated completion of approximately one study per institution per year. Areas of actual research emphasis were congruent with areas of indicated research need, except that studies of instruction ranked 7th in frequency but 3rd in need.

32. Stivers, Earl R., "Some Questions for Institutional Research," Los Angeles: California University, ERIC Clearinghouse for Junior College Information. 1968

Appropriate questions to ask about each entering class, about students in general, and about the college itself are presented as potential subjects of institutional research. A program suggested for the evaluation and analysis of student achievement at the junior college includes data to be gathered from students on entrance to the institution, at the end of each semester, and at graduation or termination. It suggests an analysis of the graduating class and terminating students, and the effects of various factors.

33. Swanson, Herbert L., "Survey of Institutional Research in the Los Angeles Junior Colleges," unpublished manuscript, University of California, Los Angeles

Identifies 198 studies, with subject matter in the following rank order: students, curriculum, enrollment, admission, faculty, plant, relationship with outside agencies, administration and organization of institution, and teaching.

34. Thomson, Jack. "Institutional Studies of Junior College Students," Junior College Research Review, Vol. 1, Number 4, May 1967, Los Angeles: California University, ERIC Clearinghouse for Junior College Information

Junior college research is typically "institutional" with applicability only to the specific institution. Most reports received at the Clearinghouse describe comparative studies of populations (entire classes, student bodies, etc.) involving no sampling processes. Data were commonly collected through records searches and presented in frequency counts and tables, with little analysis. Procedural improvements are needed. (1) To permit comparisons, several colleges could determine common variables and coding systems in developing normative studies; (2) questionnaire surveys should be based on random samples with vigorous follow-up of non-respondents; (3) use of multiple-choice response items facilitates mechanical processing. Improvement of research methodology will not de-emphasize the junior college teaching function, and it will provide more meaningful data for the institution and the entire field.

35. Wilson, Kenneth M., Collected Notes on the Connections Between Institutional Research and Institutional Practice, Princeton, New Jersey: College Research Center, June, 1971

This memorandum relates to some of the conceptual and operational aspects of the problem of establishing connections between institutional research activities and institutional practices. The first topic discussed is appraisal of institutional research activities and needs, which includes an outline and several pertinent questions related to the following areas: distribution of course work, curriculum; field of concentration choice; graduate study and career patterns;

35. Continued -

grading systems and meaning of grades, evaluation of student achievement; retention-withdrawal patterns; student characteristics; analyses of student performance; correlates of performance; counseling and advisement; advanced placement and accelerated programs; trends and developments in higher education, normative information; public relations, institutional image; faculty characteristics and conditions of service; and student-faculty evaluations. The second topic discussed is anticipation of research needs: implications for institutional record-keeping, which is followed by emphasis on the importance of establishing the potential implications for practice of particular "research projects" under the topic heading of research and practice. Then the contents of student personnel data rosters from the CRC data bank and one way of tabulating information from the roster are presented. Local analysis of research-related data briefly discusses the use by the member colleges of the CRC data bank, and the format for description of follow-up data in punched card format is provided.

IMPACTS

36. Boyer, E.L., The Impact of Institutional Research on the Academic Program, Albany: Office of the Vice Chancellor for University-Wide Acitivties, State University of New York. 1969

Constructively examines problems involved in making institutional research effective in the process of academic reform. Reviews current research on subject. An annotated bibliography is appended.

37. Cohen, Arthur M. and Gaddy, Dale. "Research Within and Without the Junior College," Junior College Research Review, Vol. 3, Number 8, April, 1969, Los Angeles: California University, ERIC Clearinghouse for Junior College Information

This report contains two essays on the extent and import of current research for junior college personnel. Both authors write from the vantage point of the ERIC Clearinghouse for Junior Colleges at the University of California, Los Angeles. After surveying the literature inputs at the Clearinghouse, Cohen concludes that there is a serious lack of professional dialogue within the junior college. He isolates five general characteristics of current literature: (1) there is a posture of defensiveness; (2) much of the literature focuses on means, rather than ends; (3) there is a belief that the junior college can do nearly all jobs of community education; (4) the question of junior college identity is still unresolved; and (5) the most definitive examinations of the junior college are coming from writers outside the field. Cohen makes a plea for dialogue in depth and indicates significant issues in junior college education that deserve research. Gaddy explores the thesis that research outside the junior college has important implications for the junior college, and provides summaries of several research studies at UCLA to support his thesis. Sources of research information are listed.

38. Hartnett, Rodney T., Accountability in Higher Education: A Consideration of Some of the Problems Assessing College Impacts, Princeton, New Jersey: Publications Order Office, College Entrance Examination Board, January, 1972

The institutional research that has been carried out continually on many campuses and the kind of educational accounting that is being demanded of higher education are not one and the same. Neither is accountability synonymous with management information systems. This paper attempts to clarify the differences among evaluation in higher education, educational accounting, and management information systems. Evaluation is concerned primarily with educational effectiveness; accountability is concerned with effectiveness and efficiency ; and the management information system is the central feature of an accountability system. The paper also deals with some of the problems encountered in measuring educational impact, such as: (1) the problem of defining and assessing institutional goals; (2) the criterion problem and behavioral objectives in assessing college impact; (3) the lack of variance problem and the need for multiple criterion measures; and (4) the problem of inferring effects in naturalistic settings.

39. Howell, Charles E., "The Role of Institutional Research in the Evaluation of Policy," A Conceptual Framework for Institutional Research, ed. Clarence H. Bagley, Pullman, Washington: Washington State University. 1964

If institutional research is to have an effective role in the evaluation of policy, it follows that there must be a coherent and complete codification of the existing policies of the institution. No policy exists in strict isolation. Therefore, a centralized agency, familiar with all policies and able to bring information effectively to the authority which is to alter policy, would seem essential. Anything less will invite the kind of chaos which exists in many campuses.

40. Park, Young. "Trends and Developments in Institutional Research," Junior College Research Review, Vol. 6, Number 8, April, 1972. Los Angeles, California: California University, ERIC Clearinghouse for Junior College Information

This review notes two major trends characterizing institutional research in community colleges today: (1) the communication of research results; and (2) the shift toward applied rather than theoretical research. A third trend noted is the desire by certain persons to create an institutional position of "information dean," who would provide needed information to decision makers. Several organizations established for exchanging information about community colleges are: The American Educational Research Association's Special Interest Group in Community Junior College Research, The Council of Community College Boards, The Community College Social Science Association, The California Educational Computing Consortium, The Audio-Tutorial Congress, and The Mountain States Community College Consortium. The changing emphasis in research from student characteristics-type tabulations to more pertinent decision-making topics is a result of increased concern for information needed "in" the community college rather than "on" it. The trend is toward research that results in usable models and that which analyzes existing procedures to make them more effective and efficient.

41. Rourke, F.E., and Brooks, G.E., The Managerial Revolution in Higher Education, Baltimore: Johns Hopkins Press. 1966

An integral part of the managerial revolution of the last ten years, institutional research is a variegated form of organizational self-study designed to help colleges and universities gather an expanding range of information about their own internal operations and the effectiveness with which they are using their own resources. Certain strengths and weaknesses of institutional research are covered.

42. Tyndall, D.G., "The Role of Institutional Research in the Implementation of Policy," A Conceptual Framework for Institutional Research, ed. Clarence H. Bagley, Pullman, Washington: Washington State University. 1964

Points out that policy determination and implementation takes place at many different levels within every organization. Suggests that the role of institutional research in education is akin to that of operations research in a large business enterprise: it submits plans for consideration by management, assists in the detailed development of plans for implementation, and assists also in evaluation and control aspects of planning and implementation.

43. Wedekind, Carl E., "The Role of Institutional Research in the Implementation of Policy," A Conceptual Framework for Institutional Research, ed. Clarence H. Bagley, Pullman, Washington: Washington State University. 1964

The role of institutional research in the formulation of policy is essentially an advisory function. It is not a decision-making function. Institutional research should be involved in the policy formulation and evaluation process, not in the implementation process, particularly since the office must maintain credibility both with administration and with faculty. If the office does get involved in policy implementation, it will be most effective if it occurs: (1) for a short and predetermined trial period, and then preferably only if (2) it is coupled with a previously and objectively conceived evaluative research design; and failing of these, only if (3) you cannot persuade your president otherwise.

ORGANIZATION

44. Bagley, Clarence H. "Institutional Research and Information Control," paper presented at the Association for Educational Data Systems meeting, April 30, 1967, Detroit, Michigan (ERIC document ED 014 794)

Calls attention to the need for defining the terms and standards of reporting data.

45. Chick, Robert. J. "Institutional Research Office Development in Eight Community Colleges," unpublished study, Kalamazoo: Kalamazoo Valley Community College, 1974

A study of the development of institutional research offices at eight community colleges located in Illinois, Ohio, and Michigan ranging in size from approximately 4,300 to 19,200 headcount enrollment. Summarizes the results of questionnaires completed through on-site visits with Directors of Institutional Research, key administrators and faculty.

46. Coombs, Philip H. "The Technical Frontiers of Education," The Twenty-Seventh Annual Sir John Adams Lecture at the University of California, Los Angeles, March 15, 1960

Advocates expenditure of at least 2% of the educational dollar for research and development, citing the example of industries such as the chemical industry which has cut costs, invented new products and improved old ones through expenditure of approximately 3% of sales dollars on research and development.

47. Garner, William Harold. "A Systematic Approach to the Establishment of an Office of Institutional Research in a Small University: An Exploratory Study," unpublished doctoral dissertation, Michigan State University. 1971

Since institutional research as a new and rapidly developing specialization lacks the literature, the theory, and the experience to provide guidelines for the establishment of a new office of institutional research, the author developed an "Inventory for Institutional Research" and a set of "Priorities for Institutional Research" through two successive surveys of faculty, administrators, and students at Ohio Northern University, where a federal grant had enabled him to initiate an office of institutional research.

48. Grout, Stuart. "A Conceptual Framework for Institutional Research: One Point of View," A Conceptual Framework for Institutional Research, ed. Clarence H. Bagley, Pullman, Washington: Office of Institutional Research, Washington State University. 1974

The institutional research officer is a creature of administration and responsible to it. His effectiveness is directly related to the extent to which the administration is research-minded.

49. Hathaway, Dale E. "What is the Responsibility of the Faculty in Institutional Long-Range Planning?" Current Issues in Higher Education 1960, ed. G. Kerry Smith, Washington: Association for Higher Education. 1960

Recommends faculty involvement in advisory committees on institutional research but cautions that faculty should not be involved in all decisions at all levels of planning but rather should concentrate on areas where faculty thinking is most critical. Recommends simultaneous establishment of faculty planning at the departmental level, establishment of a continuing faculty group to consider broad policies and their long-range implications, and the use of temporary faculty committees to perform detailed studies on limited aspects of the institution.

50. Hendrix, Vernon L. "The Role of Institutional Research in the Formulation of Policy," A Conceptual Framework for Institutional Research, ed. Clarence H. Bagley, Pullman, Washington: Washington State University, Office of Institutional Research. 1964

Reports on the current status of institutional research in junior colleges indicating that only 9% of a sample of junior colleges surveyed in 1962 had separate budget items for institutional research, and calling for more training for institutional researchers, establishment of an "institutional research atmosphere", and more inter-institutional cooperation and sharing.

51. Hopkins, Everett H. "The Role of Institutional Research in the Evaluation of Policy," A Conceptual Framework for Institutional Research, ed. Clarence H. Bagley, Pullman, Washington: Washington State University. 1964

The office of institutional research is by its very nature a "staff" or service function, and not a "line" function. It will not justify its existence unless it becomes an integral and natural part of the internal operation of the university, both horizontally and vertically, and is truly welcomed by those responsible for line functions. It will function best as an adjunct of the president's office, and must be a central part of administrative and faculty central deliberative bodies. The actual studies are not made solely by the office, but the office provides leadership and catalytic effects, as a neutral office with no axes to grind. The office should foster an institutional philosophy which places emphasis on continuous institution-wide self-study. Given these conditions, which are not easy to establish, then the evaluation role of the office of institutional research is perhaps its most important role.

52. Horn, Francis H. "A University President Looks at Institutional Research," The Role of Institutional Research in Planning, ed. L. Joseph Lins, Madison: Office of Institutional Studies, University of Wisconsin. 1963

Describes the office of institutional research as an administrative agency of the president's office, and the director of the office as a very high-level person who should be the president's closest advisor and be a generalist who knows higher education and his own institution thoroughly. Describes the office as excellent training ground for presidential aspirants.

53. Johnson, B. Lamar. "Institutional Research in Western Junior Colleges," The Junior College Journal, March, 1962, pp. 370-379

Reports the findings of a survey of institutional research in 100 junior colleges in 13 Western states. Concludes that junior colleges engage in considerable institutional research but that the amount, quality, coordination, time and dollar commitment vary widely. Advocates decentralization of research by providing assistance to faculty, staff and students who engage in research: would also advocate more focus on research on instructional methods.

54. Kirks, Jerry L. "Organizational Effectiveness and Institutional Research," pp. 31-38 in Cameron Fincher (ed.), Institutional Research and Academic Outcomes. Proceedings of the Eighth Annual Institutional Research Forum. Athens: Institute of Higher Education, University of Georgia. 1968

This paper is an attempt to apply the open-system approach of Katz and Kahn to the process of institutional research in universities. The two major purposes intended for this paper are: (1) to suggest ways in which institutional research can contribute to the effectiveness of the university as an organization; and (2) to suggest a functional organizational plan for institutional research, which contributes to this overall objective.

55. Land, William G. "Research Planning in the Undergraduate College," Liberal Education, 53:281-282, May, 1967

Recommends establishment of a general advisory research committee to provide balance between administrative control and faculty understanding by adopting a statement of basic principles on research activities of the college, promoting planning and maintaining interest, advising on priorities, advising on relevance of proposed research to the statement of basic principles, and acting as faculty representatives when research activities affect faculty.

56. LaVire, Willis A. "Institutional Research Bases for Administrative Decision-Making, " Annual Junior College Administrative Teams Institute, (5th, University of Florida, August 8-11, 1965), Tallahassee: Florida State University. 1965

In addition to an annotated listing of research projects undertaken as a result of the institute, two addresses are reproduced. Maurice L. Litton reviewed the basic steps of problem solving, described the characteristics of good research design, and urged that the results of studies be shared with others. In stressing the value of using the methods of science in determining courses of action or fixing beliefs, he cautioned the participants to use care in selecting problems, stating hypotheses, selecting a design, gathering data, and drawing conclusions. W. Hugh Stickler defined institutional research as research which is directed toward providing data useful or necessary in making administrative decisions or successfully maintaining, operating, or improving an institution. He offered seven principles for developing a program of research: (1) institutional research must be planned; (2) responsibility should be centralized; (3) the person in charge of research should report to a major institutional officer; (4) institutional research must be adequately financed; (5) an advisory committee from the entire institution should assist the research agency; (6) faculty members and administrators should participate in the program; and (7) the highest levels of professional ethics must be maintained.

57. Lenning, Oscar T. "Better Program Evaluation: How Can We Meet the Concerns of Today Which Will Become the Imperatives of Tomorrow?" Tomorrow's Imperatives Today, ed. Robert G. Cope, Pullman, Washington: University of Washington. October, 1973

An imperative for tomorrow is the need to provide clear-cut evidence to governing boards, legislatures, and other concerned publics about whether an institution is accomplishing all of its objectives. Another imperative is that local research not be done in isolation but that it contribute to overall knowledge. As the decade progresses, the pressures on institutional researchers to do a better job of program evaluation will probably reach unprecedented levels. They will be forced to use more appropriate evaluation methods and to cooperate more, and will in turn put more pressure on those in measurement and basic research to develop more concrete and useful measures of program outputs for institutional use. There are three possible solutions to improvement of evaluation methods: better graduate school training, interactive computer-based systems for assisting investigators on a step-by-step basis in the use of a particular analytic tool, and research consortia.

58. Montgomery, James R. "The Role of Institutional Research in the Evaluation of Policy," A Conceptual Framework for Institutional Research, ed. Clarence H. Bagley, Pullman, Washington: Washington State University. 1964

One should obtain two pieces of information before starting a survey: a statement of the purpose of the survey, and an agreement that the type of information supplied will be acceptable as an answer. In evaluation studies one must find the policies and objectives which apply, for they are seldom written and when they appear at all they are sufficiently general to assure misunderstanding. Another problem is that the persons wanting a study may fail to state either by error or by design what they really want or expect. Finally, one attempts to translate the objectives obtained into questions or hypotheses which can be measured. Unless policies and procedures are reduced to questions about which answers can be obtained, and unless the data collected are meaningful to the person who wants or needs the survey, evaluative studies are without value.

59. Nickens, John M. IRC: A Model for Research Consortia, paper presented at the convention of the American Educational Research Association, Chicago. 1974

Recommends establishment of consortia for institutional research as a cost saving, as a means of completing major projects which should be undertaken but ordinarily are not, and as a means of developing normative data applying to more than one institution.

60. Park, Young. "The Practitioner Views Institutional Research," Los Angeles: California University, ERIC Clearinghouse for Junior College Information. February, 1972

This topical paper presents the viewpoints of several practitioners in the field of institutional research. It is oriented toward providing the initiate to the profession with guidelines to successfully implement a practice. Specific topics covered are: (1) organization and administration of institutional research; (2) building the foundations of institutional research; (3) standards for statistical surveys; and (4) reviews of institutional research at several 2-year colleges.

61. Pieper, William C. Jr. Financial Support for Institutional Research 1969-1970, Association for Institutional Research, c/o Office of Institutional Research, 210 Building T-8, University of California, Berkeley, California 94720. 1971 38 p.

A report of the results of a survey of institutional research activity at all two and four year institutions of higher education in the U.S. and Canada. Some 1400 institutions responded, of whom 337 had IR offices. Data are presented on amount of financial support, sources of support, and amount and nature of IR expenditures at these 337 institutions. Findings are reported by type of institution and by enrollment size.

62. Roney, Robert K., III. "The Role of Institutional Research in Higher Education in the United States," unpublished Doctor's dissertation, The University of Tennessee. 1970

Supports the findings of Rourke and Brooks, Stecklein, Van Istendal, and others, which reported size of institution and regional location as important variables associated with the existence of offices of institutional research in junior and community colleges. Reports that the mean length of existence of offices of institutional research was less than five years: directors come from a variety of backgrounds, with administration, education and psychology most often cited: and more than 60% of offices are part-time offices.

63. Schietinger, E.F. Introductory Papers on Institutional Research, Atlanta, Georgia: Southern Regional Education Board. 1968

A comprehensive series of articles on the continuing role of institutional research in academic analysis, programming, and planning - focusing on the institution rather than upon higher education in general. Contributors are W. Hugh Stickler, John E. Stecklein, Cameron Fincher, James L. Miller, and L. Joseph Lins, participants in an SREB workshop on the pragmatic operation of institutional research on any campus. Bibliographies are appended to each article.

64. Stickler, W. Hugh. "The Expanding Role of Institutional Research in American Junior Colleges," The Junior College Journal, May, 1961, pp. 542-548

Colleges and universities need all the help they can get to operate effectively today: part of that help is forthcoming through institutional research. Institutional research must be planned and centralized; its director should report directly to a major officer, preferably the president: it should be assisted by an institution-wide advisory committee and involve wide participation by faculty members and administrative officers; and it must be adequately financed.

65. Torrence, L.E. "The Role of Institutional Research in the Formulation of Policy," A Conceptual Framework for Institutional Research, ed. Clarence H. Bagley, Pullman, Washington: Washington State University. 1964

Summarizes the experience of The American University in establishing an Office of Institutional Studies in July, 1963 in response to a need for effective coordination and interpretation of available information, and as a result of self-study for the regional accrediting agency. After visits to twelve schools with several different organizational structures for institutional research, the Office of Institutional Studies was established reporting to the Vice President. Recommends that data tabulation and analysis conclude with provision of recommendations for policy.

66. Wilson, O.J. Status of Institutional Research in Certain Institutions of Higher Learning, Office of Institutional Research, Western Kentucky University, Bowling Green, Kentucky. 1966

The purpose of this study was to determine the nature, administration, budget, personnel, physical facilities, equipment, and projects undertaken in institutional research in seventy-eight colleges and universities.

67. Brumbaugh, Aaron J. Research Designed to Improve Institutions of Higher Learning. Washington, D.C.: American Council on Education. 1960

A basic publication related to the need for institutional research, the subject matter areas of institutional research, the conduct and effects of institutional research in colleges and universities. Discusses the uses of institutional research, as well as problems on which Boards must make policy decisions. Gives examples of how it may be organized and examples of changes related to its impact.

68. Cook, James Eldon. A Study to Develop Guidelines for Institutional Research in Junior Colleges. Unpublished Thesis, The University of Toledo. June, 1971

On the premise that institutional evaluation is ultimately the president's responsibility, where does the president turn for help in asking the right questions and finding the answers? The administration and faculty, but particularly the president, must display a willingness to use data and act on them. Without a prior commitment to have its findings put into practice, research is doomed to failure. Conversely, it the junior college president is committed to institutional research, the activity will be supported and probably succeed.

Additional Notes

Excellent overviews of the field of institutional research can also be found in the following works:

Axt, Richard G. and Hall, T. Sprague, eds., College Self-Study: Lectures on Institutional Research, Boulder: Western Interstate Commission for Higher Education, 1960

Brumbaugh, A. J., Research Designed to Improve Institutions of Higher Learning, Washington, D. C.: American Council on Education, 1960

Cook, James Eldon, A Study to Develop Guidelines for Institutional Research in Junior Colleges, unpublished thesis, The University of Toledo, June, 1971

Glaser, Robert, ed., Organization for Research, Bloomington: Phi Delta Kappa, Inc., 1966

Institutional Research in the Junior College, Junior College Leadership Program, Occasional Report Number 3, Los Angeles: University of California, 1962

Stecklein, J. E., "Institutional Research," in Asa S. Knowles, ed., Handbook of College and University Administration, Vol. I, New York: McGraw-Hill, 1970

Van Istendal, Theodore G., A Study of Community College Institutional Research, unpublished doctoral dissertation, Michigan State University, East Lansing, 1969

Those who wish to pursue this subject further will also find it profitable to contact the following organizations:

American College Testing Program, P. O. Box 168, Iowa City, Iowa, 52240

American Council on Education, One Dupont Circle, N.W., Washington, D. C., 20036

American Association for Higher Education, National Education Association, 1201 Sixteenth Street, N. W., Washington, D. C., 20036

College Entrance Examination Board, Box 1824, Princeton, New Jersey, 08540

Educational Testing Service, Box 1822, Princeton, New Jersey, 08540

Western Interstate Commission for Higher Education, P. O. Drawer P, Boulder, Colorado, 80302

In addition, the Association for Institutional Research, Higher Education Department, Miller Hall, University of Washington, Seattle, Washington, 98195, formerly the National Institutional Research Forum, should be queried regarding the annual annotated bibliographies and proceedings of its annual forums, many of which are referenced in the preceding Annotated Bibliography.

UNIVERSITY OF CALIF.
LOS ANGELES

OCT 11 1974

CLEARINGHOUSE FOR
JUNIOR COLLEGE
INFORMATION